

Attorney Docket No. 3001 P 016

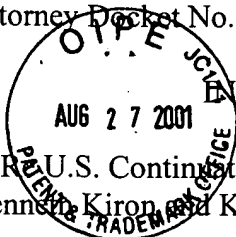


26851

PATENT TRADEMARK OFFICE

PATENT

#4  
BT  
11-13-00



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re U.S. Continuation Patent Application Of:  
Kenneth Kiron and Kevin Bander

Application No. 09/843,278

Confirmation No. 9675

Filed: April 24, 2001

For: Open End Mutual Fund Securitization Process

)  
)  
)  
) Group Art Unit: 2165  
)  
) Examiner:  
)  
)

2165

RECEIVED  
AUG 29 2001  
Group 2100

Commissioner For Patents  
Washington, D.C. 20231

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. § 1.97(b))**

Applicant submits herewith Form PTO-1449 and a copy of the references listed thereon.

Since this Information Disclosure Statement is being filed within three months of the filing date of the Application or before the mailing date of a First Office Action on the merits, whichever event occurs last (37 C.F.R. § 1.97(b)), no certification or fee is due. The Commissioner is hereby authorized to charge any deficiency in fees to Deposit Account No. 23-0280. A duplicate copy of this paper is enclosed for that purpose.

Respectfully submitted,

Dated: Aug 22, 2001

By: [Signature]

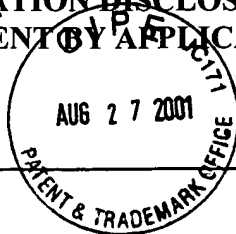
Robert W. Diehl, Reg. No. 35,118  
Wallenstein & Wagner, Ltd.  
311 South Wacker Drive, 53rd Floor  
Chicago, Illinois 60606-6630  
312.554.3300

**CERTIFICATE OF MAILING (37 C.F.R. § 1.8a)**

I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231 on Aug 23, 2001

Kathleen Rundquist  
Kathleen M. Rundquist/124363.1

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
PTO-1449



W&W File No.: 3001 P 016  
Application No.: 09/843,278  
Applicant: Kiron et al.  
Filing Date: April 24, 2001  
Art Unit: 2165

**RECEIVED**

AUG 29 2001

Group 2100

**U.S. PATENT DOCUMENTS**

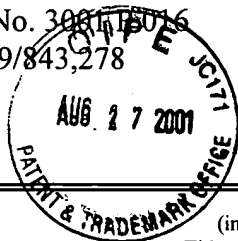
Examiner Initial	U.S. Patent Document No.	Name of Patentee or Applicant	Class/ Subclass	Date of Publication
	4,597,046	Musmanno et al.	364/408	06/24/1986
	4,615,001	Hudgins, Jr.	364/200	09/30/1986
	4,642,768	Roberts	364/408	02/10/1987
	4,876,648	Lloyd	364/408	10/24/1989
	4,914,587	Clouse	364/408	04/03/1990
	4,953,085	Atkins	364/408	08/28/1990
	5,121,495	Nemes	395/600	06/09/1992
	5,132,899	Fox	364/408	06/21/1992
	5,189,608	Lyons et al.	364/408	02/23/1993
	5,193,056	Boes	364/408	03/09/1993
	5,206,803	Vitagliano et al.	364/408	04/27/1993
	5,214,579	Wolfberg et al.	364/408	05/25/1993
	5,557,517	Daughterty, III	364/408	09/17/1996

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Foreign Patent Document			Name of Patentee or Applicant	Date of Publication	T
	Office	Number	Kind			

**OTHER PRIOR ART OR NON-PATENT LITERATURE DOCUMENTS**

Examiner Initial	(including Author (in capital letters), Title of the article, Title of the item, Date, Pages, Volume-Issue number, Publisher, City and/or Country where published.)	T
	SPIR Trust Series 1, Application for Orders Under Section 6(c) of the Investment Company Act of 1940.	
	SPIR Trust Series 1, First Amended and Restated Application for Orders Under Section 6(c) of the Investment company Act of 1940.	
	Form S-6 (EL24) for registration under the Securities Act of 1933.	



RECEIVED

AUG 29 2001

Group 2100

Examiner Initial	(including Author (in capital letters), Title of the article, Title of the item, Date, Pages, Volume-Issue number, Publisher, City and/or Country where published.)	T
	Amendment No. 1 to Form S-6 (EL24A) for registration under the Securities Act of 1933.	
	Amendment No. 2 to Form S-6 (EL24C) for registration under the Securities Act of 1933.	
	Amendment No. 3 to Form S-6 for registration under the Securities Act of 1933.	
	Dialog Abstract: File 256, Acc# 01203769; Macro*World Investors 5.0; Macro World Research Corp; Released: Jan. 1988.	
	Hill; "Program Trading of Equities: Renegade or Mainstream?"; <i>Business Horizons</i> ; vol. 32 No. 6; p. 47(9); Nov.-Dec. 1989; Dialog: File 148, Acc# 04165265.	
	Dialog Abstract: File 16, Acc# 03222677; Prime Asset Mgmt; <i>Pensions &amp; Investments</i> ; May 20, 1991; p. 69.	
	Cohen; "Canada: First Marathon Inc. Make Fund Tracking User-Friendly"; <i>Financial Post (FINPO)</i> ; Sep. 14, 1992; p. 20; Dialog File 772, Acc# 09062758.	
	Gitter, "Investing, For the Passive-Aggressive"; <i>Financial Planning</i> ; Feb. 1995; p. 59; Dialog: File 16, Acc# 05639063.	
	Dialog Abstract: File 256, Acc# 01561525; Principia for Closed-End Funds 1.0; Morningstar Inc. Released: Jul 1995.	
	Schramm; "Index Managers Get Active"; <i>Pensions 7 Investments</i> ; Oct. 16, 1995; p. 3; Dialog: File 16, Acc# 05784105.	
	Duff, "Index Funds with a Twist Can Be Market Beaters"; <i>Money</i> ; vol. 24 No. 10; p. 53; Oct. 1995; Dialog: File 15, Acc# 01091136.	

124363.1

Examiner: \_\_\_\_\_

Date  
 Considered: \_\_\_\_\_

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.